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EXAMINER
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LY, CHEYNE D

ART UNIT	PAPER NUMBER
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1631

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DATE MAILED: 08/07/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

10/082,828

Applicant(s)

SUN ET AL.

Examiner

Cheyne D Ly

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on June 02, 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☐ Claim(s) 1-17 is/are pending in the application.
- 4a) Of the above claim(s) 6 and 9-17 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1-5, 7 and 8 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) 1-17 are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☒ Other: Search Result 1

### DETAILED ACTION

1. Applicant's election with traversal of Group I, claims 1-5, 7, and 8, SEQ ID NO. 75, in Paper No. 8, filed June 02, 2003, is acknowledged.
2. The traversal is on the ground(s) the respective groups cited in Paper 7, mailed May 1, 2003, are not distinct and it would not be unduly burdensome to perform a search on claims 1-17 together. This is not found persuasive because nucleic acids and polypeptides are directed to different chemical types regarding the critical limitations therein. Further, the distinct methods of use corresponding to each chemical type support the undue search burden if they were examined together. While taking advantage of the distinct properties of each chemical type, these usages have distinct goals as requiring distinct and different functions and results thereof without overlapping search due to different subject matter. This lack of overlapping searches documents the undue search burden if they were search together.
3. The traversal to limiting the number of nucleic acid sequences to one was found unpersuasive because, due to the number of these requests made, it is practically impossible to accommodate all requests. The overwhelming number of sequences poses undue search burden when more than one nucleic acid sequence is elected, thus making the previous waiver to a complete search of all of the sequences of this instant application, effectively impossible to reasonably implement.
4. The requirement is still deemed proper and is therefore made FINAL.
5. Claims 1-5, 7, and 8, SEQ ID NO. 75 are examined on the merits.

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### **OBJECTIONS**

6. The disclosure is objected to because it contains an embedded hyperlink and/or other form of browser-executable code (Page 138, lines 1 and 3). Applicant(s) is/are required to delete the embedded hyperlink and/or other form of browser-executable code, or inactivate the hyperlink. See MPEP § 608.01.

7. Claim 1-5, 7, and 8 are objected to due to the inclusion of subject matter, which has been non-elected due to a restriction requirement and therefore, the non-elected subject matter has been withdrawn from consideration.

### **CLAIM REJECTIONS - 35 U.S.C. § 112, SECOND PARAGRAPH**

8. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

9. Claims 1-5, 7, and 8 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

10. Specific to claim 1, line 6, the term "selectively" causes the claim to be vague and indefinite because it is unclear what criteria are being used to determine that a nucleic acid molecule selectively hybridizes to another (hybridization temperature or salt concentration). Clarification of the metes and bounds is required. Claims 2-5, 7, and 8 are rejected for being directly or indirectly dependent from claim 1.

11. Specific to claim 1, line 8, the phrase "at least 60% sequence identity" causes the claim to be vague and indefinite because it is unclear what criteria are being used to determine one nucleic acid sequence is "at least 60% sequence identity" to another. Is a sequence "at least 60%

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sequence identity" to another when two sequences having the same sequence length and the identity occurs within the same sequence length of the two said molecules? Or two sequences having different sequence lengths and the sequence identity occurs in the overlapping sequence and the difference in sequence identity at the variable lengths causes the sequence identity to be 60%? Clarification of the meets and bounds of the claim is required. Claims 2-5, 7, and 8 are rejected for being directly or indirectly dependent from claim 1.

**LACK OF UTILITY UNDER 35 U.S.C. § 101:**

12. The pending claims have been reviewed in light of the Utility Examination Guidelines and Guidelines for Examination of Patent Applications under 35 U.S.C. 112, first paragraph, "Written Description" Requirement, Federal Register, Vol. 66, No. 4, pages 1092-1111, Friday, January 5, 2001.

13. The examiner is using the following definitions in evaluating the claims for utility.

"Specific" - A utility that is *specific* to the subject matter claimed. This contrasts with a *general* utility that would be applicable to the broad class of the invention.

"Substantial" - A utility that defines a "real world" use. Utilities that require or constitute carrying out further research to identify or reasonably confirm a "real world" context of use are not substantial utilities.

"Credible" - Credibility is assessed from the perspective of one of ordinary skill in the art in view of the disclosure and any other evidence of record that is probative of the applicant's assertions. That is, the assertion is an inherently unbelievable undertaking or involves implausible scientific principles.

"Well-established" - a specific, substantial, and credible utility which is well known, immediately apparent, or implied by the specification's disclosure of the properties of a material, alone or taken with the knowledge of one skilled in the art.

35 U.S.C. § 101 reads as follows:

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"Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter or any new and useful improvement thereof, may obtain a patent therefore, subject to the conditions and requirements of this title".

14. Claims 1-5, 7, and 8 are rejected under 35 U.S.C. § 101 because the claimed invention lacks patentable utility due to its not being supported by a specific, substantial, and credible utility or, in the alternative, a well-established utility.

15. The critical limitation of claims 1-5, 7, and 8 is the claimed polynucleotide SEQ ID NO:

75. While some data are supplied for several sequences, such as for DEX0247\_153 and

DEX0247\_152 on pages 122-123, no data therein indicate any specificity regarding the elected

SEQ ID NO: 75, DEX-247\_75. The claimed nucleic acid is not supported by a specific asserted

utility because the other disclosed uses (not specified for any particular sequence) mentioned in

the specification are generally applicable to many nucleic acids. The specification states that the

polynucleotide sequences may be useful "identifying, diagnosing, monitoring, staging, imaging,

and treating breast cancer and non-cancerous disease states in breast" (page 7, lines 15-24). The

above-mentioned list of desirable utility for the claimed sequence falls short of a readily

available utility. These are non-specific uses that are applicable to nucleic acids in general and

not particular or specific to the polynucleotide being claimed.

16. Further, the claimed polynucleotide is not supported by a substantial utility because no

substantial utility has been established for the claimed subject matter. For example, a nucleic

acid may be utilized to obtain a protein. The protein could then be used in conducting research

to functionally characterize the protein. A starting material that can only be used to produce a

final product does not have substantial asserted utility in those instances where the final product

is not supported by a specific and substantial utility. In this case, the protein produced as a final

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product resulting from processes involving the nucleic acid does not have asserted or identified specific and substantial utilities. Identifying and studying the properties of a protein itself or the mechanisms in which the protein is involved, such as the BSP encoded by SEQ ID NO: 75, does not define a "real world" context for use. Similarly, the other listed utilities and asserted utilities as summarized above or in the instant specification are neither substantial nor specific due to being generic in nature and applicable to many such compounds.

### **Claims Rejected Under U.S.C. § 112, First Paragraph**

17. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

### **LACK OF ENABLEMENT**

18. Claims 1-5, 7, and 8 are rejected under 35 U.S.C. § 112, first paragraph as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the claimed sequence. For a sequence putatively assigned a biological function, even if correct, does not appear to be defined as to what use it is to be applied to. The significance of the sequence is undefined, further rendering it indiscernible how someone of skill in the art would use such an entity.

19. Since the claimed invention is not supported by a specific, substantial, and credible utility or a well-established utility for the reasons set forth above (refer to 35 U.S.C. § 101 rejection), one skilled in the art would not know how to use the claimed invention.

### **LACK OF WRITTEN DESCRIPTION**

20. Claims 1-5, 7, and 8 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

21. The specification discloses SEQ ID NO: 75. Claims 1-5, 7, and 8 are directed sequences which encompass sequences that selectively hybridizes to sequence of SEQ ID NO. 75, and sequence having at least 60% sequence identity to sequence of SEQ ID NO. 75. None of these sequences meet the written description provision of 35 USC 112, first paragraph. The specification provides insufficient written description to support the genus encompassed by the claim.

Vas-Cath Inc. v. Mahurkar, 19 USPQ2d 1111, makes clear that "applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of the invention. The invention is, for purposes of the 'written description' inquiry, whatever is now claimed." (See page 1117.) The specification does not "clearly allow persons of ordinary skill in the art to recognize that [he or she] invented what is claimed." (See Vas-Cath at page 1116.)

22. With the exception of SEQ ID NO: 75, the skilled artisan cannot envision the detailed chemical structure of the encompassed polynucleotides and/or proteins, regardless of the complexity or simplicity of the method of isolation. Adequate written description requires more than a mere statement that it is part of the invention and reference to a potential method for isolating it. See Fiers v. Revel, 25 USPQ2d 1601, 1606 (CAFC 1993) and Amgen Inc. V. Chugai Pharmaceutical Co. Ltd., 18 USPQ2d 1016. In Fiddes v. Baird, 30 USPQ2d 1481, 1483,



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claims directed to mammalian FGF's were found unpatentable due to lack of written description for the broad class. The specification provided only the bovine sequence.

University of California v. Eli Lilly and Co., 43 USPQ2d 1398, 1404, 1405 held that: ...To fulfill the written description requirement, a patent specification must describe an invention and do so in sufficient detail that one skilled in the art can clearly conclude that "the inventor invented the claimed invention." *Lockwood v. American Airlines, Inc.*, 107 F.3d 1565, 1572, 41 USPQ2d 1961, 1966 (1997); *In re Gosteli*, 872 F.2d 1008, 1012, 10 USPQ2d 1614, 1618 (Fed. Cir. 1989) (" [T]he description must clearly allow persons of ordinary skill in the art to recognize that [the inventor] invented what is claimed."). Thus, an applicant complies with the written description requirement "by describing the invention, with all its claimed limitations, not that which makes it obvious," and by using "such descriptive means as words, structures, figures, diagrams, formulas, etc., that set forth the claimed invention." *Lockwood*, 107 F.3d at 1572, 41 USPQ2d at 1966.

23. Therefore, only SEQ ID NO: 75 but not the full breadth of the claims 1-5, 7, and 8 meet the written description provision of 35 USC 112, first paragraph. The species specifically disclosed are not representative of the genus because the genus is highly variant. Applicant is reminded that *Vas-Cath* makes clear that the written description provision of 35 USC 112 is severable from its enablement provision. (See page 1115.)

### ***Claim Rejections - 35 USC § 102***

24. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

25. Claims 1, 3-5, 7, and 8 are rejected under 35 U.S.C. 102(a) as being clearly anticipated by Birren et al. (May 2000).

26. Birren et al. discloses a nucleic acid molecule (Accession Number AC024983) that is at least 60% sequence identity to the nucleic acid molecule of SEQ ID NO. 75. Further, the nucleic

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acid of Birren et al. is of human genomic DNA in a M13 vector (page 1, lines 7 and 51; and page 2, line 46), as in instant claims 1, 3-5, 7, and 8. It is well known in the art that the M13 vector is propagated in bacterial host cells (Griffiths et al., page 3, lines 8-13).

### CONCLUSION

27. Papers related to this application may be submitted to Technical Center 1600 by facsimile transmission. Papers should be faxed to Technical Center 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of such papers must conform with the notices published in the Official Gazette, 1096 OG 30 (November 15, 1988), 1156 OG 61 (November 16, 1993), and 1157 OG 94 (December 28, 1993) (see 37 CFR § 1.6(d)). The CM1 Fax Center number is either (703) 308-4242 or (703) 305-3014.

28. Any inquiry concerning this communication or earlier communications from the examiner should be directed to C. Dune Ly, whose telephone number is (703) 308-3880. The examiner can normally be reached on Monday-Friday from 8 A.M. to 4 P.M.

29. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael Woodward, Ph.D., can be reached on (703) 308-4028.

30. Any inquiry of a general nature or relating to the status of this application should be directed to Legal Instruments Examiner, Tina Plunkett, whose telephone number is (703) 305-3524 or to the Technical Center receptionist whose telephone number is (703) 308-0196.

C. Dune Ly  
8/4/03

